



NATIONAL ENDOWMENT FOR THE

Humanities

DIVISION OF **PRESERVATION AND ACCESS**

PRESERVATION AND ACCESS RESEARCH AND DEVELOPMENT

Deadline: May 1, 2014 (for projects beginning January 2015)

Catalog of Federal Domestic Assistance (CFDA) Number: 45.149

Items referred to in this document needed to complete your application:

- ☐ Budget instructions
- ☐ Budget form
- ☐ Grants.gov application package and instructions

Also see the **application checklist** at the end of this document.

Questions?

Contact the staff of NEH's Division of Preservation and Access at preservation@neh.gov and 202-606-8570. Hearing-impaired applicants can contact NEH via TDD at 1-866-372-2930.

Submission via Grants.gov

All applications to this program must be submitted via Grants.gov. To submit an application via Grants.gov, you must have an up-to-date Entity record in the [System for Award Management](#) (SAM). Entity records must be updated at least annually. We strongly recommend that you update (or, if

necessary, create) your SAM Entity record at least four weeks before the application deadline, and that you complete or verify your Grants.gov registration at least two weeks before the application deadline.

I. Program Description

Preservation and Access Research and Development grants support projects that address major challenges in preserving or providing access to humanities collections and resources. These challenges include the need to find better ways to preserve materials of critical importance to the nation's cultural heritage—from fragile artifacts and manuscripts to analog recordings and digital assets subject to technological obsolescence—and to develop advanced modes of searching, discovering, and using such materials.

Applicants should define a specific problem, devise procedures and potential solutions, and explain how they would evaluate their projects and disseminate their findings. Project results must serve the needs of a significant number of humanists.

Applications may be submitted for projects that address any of the following activities:

- the development of technical standards and best practices for preserving and creating access to humanities collections;
- the exploration of more effective scientific and technical methods of preserving humanities collections;
- the development of automated procedures and computational tools to integrate, analyze, and repurpose humanities data in disparate online resources;
- the development of platforms, systems, and plans for managing humanities data and digital assets; and
- the investigation and testing of new ways of providing digital access to humanities materials that are not easily digitized using current methods.

NEH especially encourages applications that address the following topics:

- **Digital Preservation:** how to preserve digital humanities materials, including born-digital materials;
- **Recorded Sound and Moving Image Collections:** how to preserve and increase access to the record of the twentieth century contained in these formats; and
- **Preventive Conservation:** how to protect and slow the deterioration of humanities collections—including digital collections—through the use of sustainable preservation strategies.

Collaboration is a hallmark of research and development projects. Projects that present advanced models of collaboration, especially among humanities professionals, research scientists, and other technical experts, are welcome. Projects to develop standards or best practices should be guided by advisers representative of the relevant professions.

Successful applicants must create a white paper that describes the lessons learned during the conduct of the project (both positive and negative). The white paper should also document any software or techniques resulting from the project. White papers will be posted on the NEH website so that others may benefit from the research.

Types of projects not supported

Preservation and Access Research and Development grants cannot be used for projects whose primary activity involves the digitization of materials or the creation of a reference resource. Applicants may, however, undertake such activities insofar as they further research and development—for example, by working with a collection as a testbed. Applicants proposing to focus strictly on digitizing humanities collections or creating reference resources should apply to the [Humanities Collections and Reference Resources](#) program.

Applicants proposing to implement computationally-based methods or digital tools for use in humanities research, public programming, or educational settings should consider applying to the [Digital Humanities Implementation Grants](#) program.

Previously funded projects

An institution whose project has received NEH support may apply for a grant for a new or subsequent stage of that project. Such proposals receive no special consideration and will be judged by the same criteria as others in the grant competition. In addition, these proposals must be substantially updated, including a description of the new activities and a justification of the new budget. The applicant must also describe how the previously funded project met its goals.

Providing access to grant products

As a taxpayer-supported federal agency, NEH endeavors to make the products of its grants available to the broadest possible audience. Our goal is for scholars, educators, students, and the American public to have ready and easy access to the wide range of NEH grant products. For the Preservation and Access Research and Development program, such products may include digital tools, software, and other forms of publication. For projects that lead to the development of such products, all other considerations being equal, NEH gives preference to those that provide free access to the public. Detailed guidance on access and dissemination matters can be found below, in the “Dissemination” section of the instructions for the narrative.

II. Award Information

The maximum award is \$350,000 for up to three years. Applicants whose projects focus on at least one of the three areas of special interest noted above—digital preservation, audiovisual preservation, and preventive conservation—may request up to \$400,000. Successful applicants

will be awarded a grant in outright funds, federal matching funds, or a combination of the two, depending on the applicant's preference and the availability of NEH funds. Matching funds are released when a grantee secures gift funds from eligible third parties.

(Learn more about different [types of grant funding](#).)

Cost sharing

Although cost sharing is not required, this program is rarely able to support the full costs of projects approved for funding. In most cases, NEH Preservation and Access Research and Development grants cover no more than 80 percent of project costs.

Cost sharing consists of the cash contributions made to a project by the applicant, third parties, and other federal agencies, as well as third party in-kind contributions, such as donated services and goods. Cost sharing also includes gift money raised to release federal matching funds.

III. Eligibility

U.S. nonprofit organizations are eligible, as are state and local governmental agencies and federally recognized Indian tribal governments. Individuals are not eligible to apply.

NEH generally does not award grants to other federal entities or to applicants whose projects are so closely intertwined with a federal entity that the project takes on characteristics of the federal entity's own authorized activities. This does not preclude applicants from using grant funds from, or sites and materials controlled by, other federal entities in their projects.

Late, incomplete, or ineligible applications will not be reviewed.

IV. Application and Submission Information

HOW TO PREPARE YOUR APPLICATION

Application advice and proposal drafts

Prior to submitting a proposal, applicants are encouraged to review the sample narratives and the Frequently Asked Questions document, both of which are available on the [program resource page](#). Applicants are also encouraged to contact program officers, who can offer advice about preparing the proposal and review draft proposals. Staff comments on draft proposals are not part of the formal review process and have no bearing on the final outcome of the proposal, but applicants have found them helpful in strengthening their applications.

Program staff recommends that draft proposals be submitted at least six weeks before the deadline. Time constraints may prevent staff from reviewing draft proposals submitted after

that date. Draft proposals are optional; if you choose to submit one, send it as an attachment to preservation@neh.gov.

You will prepare your application for submission via Grants.gov just as you would a paper application. Your application should consist of the following parts:

1. Description of the project and its significance

Provide a one-page abstract written for a nonspecialist audience, clearly explaining the project's importance to the humanities, its principal activities, and its expected results.

2. Table of contents

List all parts of the application and, beginning with the narrative, number all pages consecutively.

3. Narrative

Limit the narrative to twenty single-spaced pages. All pages should have one-inch margins and the font size should be no smaller than eleven point. Use appendices to provide supplementary material.

Individuals with a variety of professional backgrounds will read these applications and advise NEH on their merits. Project narratives should therefore be written with a minimum of technical jargon.

Keep the application review criteria (see Section V of these guidelines, below) in mind when writing the narrative, which consists of the following sections:

○ **Significance**

Explain the issue or problem to be addressed and how the humanities would benefit from the proposed solutions. Describe how the project would advance humanities research, education, or public programming. Discuss the relation of your project to other work in the field and its contribution to solving the research problem. List relevant reference sources in a bibliographical appendix.

○ **Background of applicant**

Explain the applicant institution's capabilities for conducting the project, including its possession of the necessary technical infrastructure and scientific facilities. Describe the institution's experience in areas related to the project.

○ **History, scope, and duration**

Provide a concise history of the project, including information about any preliminary research or planning. If you will not complete the project during the requested grant period, describe the scope and duration of the entire

project as well as the specific accomplishments or products intended for the grant period for which funding is requested.

If the project has received previous support, indicate what has been accomplished in the current or past phase of the project and the degree to which it has met its established goals. List any publications, in print or electronic form, already produced. In the case of online projects, include a Web address and metrics such as scholarly citations that would demonstrate the project's significance to its field.

○ **Methodology and standards**

Explain and justify the procedures and standards that will be used to carry out the project. If the project's goals require departing from accepted standards and procedures, discuss whether the results would be compatible with other resources that follow existing standards. Describe how the project will test the potential applicability of any innovative techniques and procedures that it is likely to develop.

In discussing your methodology, consider the following:

- For projects using or repurposing a dataset or collection, describe its format, structure, and content in terms of how it supports the project's research and development objectives.
- Discuss the rationale and specifications for any programming languages, platforms, software, or other applications. Describe which technologies, instruments, and tools will be used to capture or generate data. Explain your choice of metadata standards that will be applied to the data for management and access purposes.
- For projects developing procedures, best practices, or national standards, describe how advisers representing the relevant professions will guide the project and how any products will reflect the collective knowledge and judgment of experts in the field.
- Discuss the management of intellectual property or privacy permissions necessary to ensure the availability of the project's results—for example, proprietary technologies or licensed software. Permissions in matters concerning intellectual property must already be obtained, and any pertinent documentation must be provided in an appendix.
- If you are requesting complete or partial funding for the development, acquisition, preservation, or enhancement of geospatial data, products, or services, you must conduct a due diligence search at the [Data.gov list of datasets](#) to discover whether the needed geospatial-related data, products, or services already exist. If not, you must produce the

proposed geospatial data, products, or services in compliance with applicable proposed guidance posted at www.fgdc.gov.

- Provide a detailed plan for evaluating the outcomes of the project. If you plan on conducting quantitative or scientific analysis or a survey, explain in general terms the methods that you will use to implement and evaluate your results.

○ **Work plan**

Describe the work plan in detail, including a schedule indicating what will be accomplished during each stage of the project. Separate complex procedures into a coherent set of activities. Explain how outcomes from one activity will carry over into the next. For each activity, specify the project team members involved.

○ **Staff**

Identify the project's staff, including outside consultants. Describe the staff members' duties and their qualifications for those duties. Indicate the amount of time that the principal members of the project's staff will devote to the project. All people directly involved in the conduct of the project, whether paid for by NEH or by cost sharing, must be named in the budget, along with their anticipated commitments of time. In an appendix provide two-page résumés for major project staff and all consultants.

If the project has an advisory board, list the names and affiliations of the board's members and explain the board's function.

○ **Sustainability of project deliverables and datasets**

Describe your plan for the long-term preservation of project deliverables and datasets, including scientific, statistical, or survey results. If your project works with a humanities collection, discuss efforts to ensure its proper handling and, if applicable, preservation. All projects should also ensure to the extent possible the replicability of tests and procedures. Include in your discussion storage systems, data standards, and migration plans, as well as institutional support and infrastructural capacity as needed. Explain any provisions made for the long-term maintenance of products and their interoperability with other resources.

For projects resulting in national standards or best practices, discuss plans for managing revisions or additions.

In those cases in which further research or development is anticipated, describe plans for additional project phases, as well as efforts to secure outside support or promote community participation.

- **Dissemination**

Describe your plans to disseminate project results through various media, such as one or more of the following: printed articles or books, presentations at meetings, and digital media. Note that grantees are also required to submit a white paper presenting their data and project outcomes.

Specify how deliverables will be made accessible. Projects developing new software are encouraged to make the software *free* in every sense of the term, including the use, copying, distribution, and modification of the software. Open source software or source code preferably should be made publicly available through an online repository such as [SourceForge](#) or [GitHub](#).

4. **Budget**

Using the instructions and the sample budget, complete the budget form (MS Excel) or a format of your own that includes all the required information. You can find links to the budget instructions, sample budget, and budget form on the [program resource page](#). While all items should be justified by the narrative, you may include further explanation in brief budget notes.

If you are claiming indirect costs, attach a copy of your institution's current federally negotiated indirect cost rate agreement to the budget form. Alternatively, you can use NEH's rate of 12 percent of the total direct costs, less distorting items (including but not limited to capital expenditures, participant stipends, fellowships, and the portion of each subgrant or subcontract in excess of \$25,000).

For any outsourced work, include third-party contractor costs in the budget category "Services." Attach a complete itemization of these costs to the budget form. If there is more than one contractor, each one must be listed (as a separate line item under "Services") on the budget form and the costs must be itemized separately.

To the maximum extent practical, all procurement contracts must be made through an open and free competition. They are to be awarded to the bidder or offeror whose bid or offer is most advantageous, considering price, quality, and other factors. Applicants must justify procurement contracts in excess of \$100,000 that are not awarded by competitive bids or offers.

Permanent equipment may be purchased for a project if an analysis demonstrates that purchasing is more economical and practical than leasing. Permanent equipment is defined as nonexpendable personal property costing \$5,000 or more and having a useful life of more than one year.

Consistent with the Buy American Act (41 U.S.C. 10a-c and Public Law 105-277), grantees and subrecipients who purchase equipment and products with grant funds should purchase only American-made equipment and products.

5. Appendices

Use appendices to provide

- a brief bibliography of relevant sources;
- brief résumés (no longer than two pages) for staff with major responsibilities for the project's implementation; and
- letters of support (preferably no more than three). Such letters should address the project's significance and be written by experts in the project's subject area, proposed methodology, or technology. Authors of letters of support will not participate further in the NEH review process.

As relevant, include the following as well:

- representative samples of the final or anticipated form of the work;
- permissions in matters concerning intellectual property;
- results from previous or preliminary work such as screenshots, reports, or collected data;
- job descriptions for any additional staff who will be hired specifically to work on the project;
- brief résumés (no longer than two pages) for project consultants; and
- letters of commitment from consultants and participants from cooperating institutions.

6. History of grants

If the project has received previous support from any federal or nonfederal sources, including NEH, list on one page the sources, dates, and amounts of these funds. If the project has a long history of support, the sources and contributions may be grouped and summarized.

7. Project participants, consultants, and advisers

On a separate page, list in alphabetical order, surnames first, all project participants, consultants, members of the project's advisory board (if there is one), and authors of letters of support; include the institutional affiliations of all of these individuals. The list is used to ensure that prospective reviewers have no conflict of interest with the projects that they will evaluate.

HOW TO SUBMIT YOUR APPLICATION

The application must be submitted to Grants.gov. Links to the Grants.gov application package and instructions for preparing and submitting the package can be found on the [program resource page](#).

HOW TO SUBMIT SUPPLEMENTARY MATERIALS

If you are sending supplementary materials (those that cannot be scanned and converted to an electronic form and submitted via Grants.gov), please send **eight copies of each item** and include a list of these supplementary materials in the application's table of contents with an indication that these have been mailed separately.

NEH continues to experience lengthy delays in the delivery of mail by the U.S. Postal Service, and in some cases materials are damaged by the irradiation process. We recommend that supplementary materials be sent by a commercial delivery service to ensure that they arrive intact by the receipt deadline.

If you wish to submit supplementary materials, call 202-606-8570 or e-mail preservation@neh.gov for additional instructions.

If you wish to have the materials returned to you, please include a self-addressed, pre-paid mailer.

Deadlines

Applications must be received by Grants.gov on or before May 1, 2014. Grants.gov will date- and time-stamp your application after it is fully uploaded. Applications submitted after that date will not be accepted. **Supplementary materials must also arrive at NEH on or before May 1, 2014, to be considered as part of the application.**

V. Application Review

Evaluators are asked to apply the following criteria in assessing applications:

- the significance and potential impact of the project for improving preservation and access practices;
- the benefits of the project for humanities research, education, or public programming;
- the soundness of the methodology, including its adherence to accepted professional and technical standards of practice;
- the viability, efficiency, and productivity of the project, as indicated by the work plan (which should include procedures to evaluate and disseminate project results);

- the professional training and experience of the staff in relation to the activity for which support is requested;
- the effectiveness of the proposed strategy for ensuring long-term access to project data and outcomes; and
- the reasonableness of the proposed budget in relation to anticipated results.

Review and selection process

Knowledgeable persons outside NEH will read each application and advise the agency about its merits. NEH staff comments on matters of fact or on significant issues that otherwise would be missing from these reviews, then makes recommendations to the National Council on the Humanities. The National Council meets at various times during the year to advise the NEH chairman on grants. The chairman takes into account the advice provided by the review process and, by law, makes all funding decisions. More details about NEH's review process are available [here](#).

VI. Award Administration Information

System for Award Management Entity records

The Federal Funding Accountability and Transparency Act (FFATA) requires federal agencies to make information about the expenditure of tax funds available to the public. To facilitate this, an applicant organization must maintain current information in its Entity record in the System for Award Management (SAM), which now administers the former Central Contractor Registry (CCR). You must therefore review and update the information in your Entity record at least annually after the initial registration, and more frequently if required by changes in your information or another award term. In order for you to apply for an award via Grants.gov, receive an award, or receive payment on an award, the information in your Entity record must be current. You can update your organization's Entity record [here](#). You may need a new SAM User Account to register or update your Entity record.

Award notices

Applicants will be notified of the decision by e-mail in December 2014. Institutional grants administrators and project directors of successful applications will receive award documents by e-mail in January 2015. Applicants may obtain the evaluations of their applications by sending a letter to NEH, Division of Preservation and Access, Washington, D.C. 20506, or an e-mail message to preservation@neh.gov.

Administrative requirements

Before submitting an application, applicants should review their [responsibilities as an award recipient](#) and the [lobbying certification requirement](#).

Award conditions

The requirements for awards are contained in the [General Terms and Conditions for Awards](#), the [Addendum](#) to it, any specific terms and conditions contained in the award document, and the applicable [OMB circulars governing federal grants management](#).

Reporting requirements

A schedule of report due dates will be included with the award document. Reports must be submitted electronically via [eGMS](#), NEH's online grant management system.

Interim and final performance reports will be required, as will a white paper. Further details can be found in [Performance Reporting Requirements](#).

A final [Federal Financial Report](#) (SF-425, PDF) will be due within ninety days after the end of the award period. For further details, please see the [Financial Reporting Requirements](#).

VII. Points of Contact

If you have questions about the program, contact:

Preservation and Access Research and Development
National Endowment for the Humanities
Washington, DC 20506
202-606-8570
preservation@neh.gov

If you need help using Grants.gov, refer to

Grants.gov: <http://www.grants.gov>
Grants.gov help desk: support@grants.gov
Grants.gov customer support tutorials and manuals:
<http://www.grants.gov/web/grants/applicants/applicant-resources.html>
Grants.gov support line: 1-800-518-GRANTS (4726)
Grants.gov [troubleshooting tips](#)

VIII. Other Information

Privacy policy

Information in these guidelines is solicited under the authority of the National Foundation on the Arts and Humanities Act of 1965, as amended, 20 U.S.C. 956. The principal purpose for which the information will be used is to process the grant application. The information may also be used for statistical research, analysis of trends, and Congressional oversight. Failure to provide the information may result in the delay or rejection of the application.

Application completion time

The Office of Management and Budget requires federal agencies to supply information on the time needed to complete forms and also to invite comments on the paperwork burden. NEH estimates that the average time to complete this application is fifteen hours per response. This estimate includes time for reviewing instructions, researching, gathering, and maintaining the information needed, and completing and reviewing the application.

Please send any comments regarding the estimated completion time or any other aspect of this application, including suggestions for reducing the completion time, to the Chief Guidelines Officer, at guidelines@neh.gov; the Office of Publications, National Endowment for the Humanities, Washington, DC 20506; and the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, DC 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number.

APPLICATION CHECKLIST

- ❑ **Verify and if necessary update your institution's Entity record, or create an Entity record for your institution, at the System for Award Management (SAM).** Complete at least four weeks before the deadline.
- ❑ **Verify your institution's registration or register your institution with Grants.gov.** Complete at least two weeks before deadline.
- ❑ **Download the application package from Grants.gov.** The [program resource page](#) on NEH's website has a direct link to the package. You can also search Grants.gov for this program. The program resource page has a direct link to the instructions for completing the package.
- ❑ **Complete the following forms contained in the Grants.gov application package.**
 1. Application for Federal Domestic Assistance - Short Organizational
 2. Supplementary Cover Sheet for NEH Grant Programs
 3. Project/Performance Site Location(s) Form
 4. Attachments Form—Using this form, attach the parts of your application as described in the guidelines:

ATTACHMENT 1: Description of the project and its significance (name the file "projectdescription.pdf")

ATTACHMENT 2: Table of contents (name the file "contents.pdf")

ATTACHMENT 3: Narrative (name the file "narrative.pdf")

ATTACHMENT 4: Budget and—if you are claiming indirect costs—a copy of your institution’s current federally negotiated indirect cost rate agreement (name the file “budget.pdf”)

ATTACHMENT 5: Appendices (name the file “appendices.pdf”)

ATTACHMENT 6: History of grants (name the file “granthistory.pdf”)

ATTACHMENT 7: List of project participants, consultants, and advisers (name the file “participantslist.pdf”)

Your attachments must be in Portable Document Format (.pdf). We cannot accept attachments in their original word processing or spreadsheet formats. If you don’t already have software to convert your files into PDFs, many low-cost and free software packages will do so. You can learn more about converting documents into PDFs [here](#).

Upload your application to Grants.gov. NEH **strongly** suggests that you submit your application no later than 5:00 p.m. Eastern Time on the day of the deadline. Doing so will leave you time to contact the Grants.gov help desk for support, should you encounter a technical problem of some kind. The Grants.gov help desk is now available seven days a week, twenty-four hours a day (except on [federal holidays](#)), at 1-800-518-4726. You can also send an e-mail message to support@grants.gov.